*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Contents: Laboratory-Wide Procedures and Guidelines**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

| Section | Overview of Content<br>(see section for full process) |
|---|---|
| Introduction | |
| 1. Revising Legacy Manuals | • Submit change to SBMS; determine whether it is major or minor.<br>• Revise manual.<br>• Review revisions and incorporate reviewers' comments.<br>• Approve revised manual.<br>• Maintain historical files.<br>• Publish revised manual in SBMS. |
| 2. Developing New Subject Areas | • Develop and review subject area.<br>• Incorporate reviewers' comments.<br>• Write Issue and Decision Paper.<br>• Approve subject area.<br>• Publish subject area in SBMS. |
| 3. Revising Subject Areas | • Determine whether change is major or minor.<br>• Revise subject area.<br>• Review revisions and incorporate reviewers' comments.<br>• Approve revised subject area.<br>• Maintain historical files.<br>• Publish revised subject area in SBMS. |
| 4. Deploying/Implementing Laboratory-wide Procedures and Guidelines | • Develop implementation plan.<br>• Monitor progress of implementation.<br>• Inform Laboratory Director when implementation is complete. |
| Definitions | |

**Exhibits**

Criteria for Assigning Level of Priority

Criteria for Creating or Revising a Subject Area

Facilitated Development Team Approach

Potential Charter Elements

Process Flow

Should a Form Be in SBMS?

**Forms**
Approval Form

Internal Record of Decision

Subject Area Outline

## Training Requirements and Reporting Obligations

This subject area does not contain training requirements.

This subject area may or may not contain reporting obligations. See the subject area until obligations are listed here.

## References

Management System Descriptions

Requesting SBMS Variances subject area

Requirements Management subject area

## Standards of Performance

The Standards-Based Management System provides staff with Laboratory-wide policies, standards, procedures, and guidelines that are current, accurate, and relevant to their work.

The Laboratory's policies, standards, and Laboratory-wide procedures and guidelines are based on an evaluation of external requirements documents and applicable non-government standards, e.g., orders, directives, and federal, state, and local laws.

Management systems, standards, implementing procedures, and guidelines shall be developed with appropriate input from staff enabling them to effectively work in compliance with applicable requirements.

All staff and guests shall comply with applicable Laboratory policies, standards, and procedures, unless a formal variance is obtained.

## Management System

This subject area belongs to the management system.

Back to Top

Back to Top

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1.2-012000-/standard/01/0100t011.htm

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*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Introduction: Laboratory-Wide Procedures and Guidelines**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

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Laboratory-wide procedures and guidelines are documented in BNL's Standards-Based Management System (SBMS), either in subject areas or legacy manuals (which are currently being transformed into subject areas). Authors and Subject Matter experts (SMEs) have several options available to them for revising Legacy Manuals or creating and revising subject areas. The *Laboratory-Wide Procedures and Guidelines* subject area describes these different options and helps the authors and SMEs determine which option best fits their needs.

The information hierarchy for the SBMS is described in detail in the SBMS Management System Description. Subject areas contain only procedures and guidelines that are applicable to a broad group of staff across the Laboratory. If the information applies to a select or small group of staff, alternate methods of communication could be used, such as program descriptions, group-specific procedures, and desk or operating procedures. Before beginning work on your subject area, it is important to have a good understanding of the various methods for communicating information about Laboratory processes. SBMS Subject Area Development staff can work with you before you begin development of your information to help you define an appropriate scope, or if you have already drafted your subject area, to assist in editing the information to ensure that the focus on lab-wide users is maintained.

**Note:** For information about alternative ways of implementing external and internal drivers, see the Requirements Management subject area. For information about obtaining a variance, from this or other subject areas, see the Requesting SBMS Variances subject area.



1.0-061999/standard/01/0100i011.htm

SBMS | Forms | Contact List | SBMS Instructions | Help Desk

Find Subject Areas: Index | Categories | Alpha

Show Side Menu

Search Subject Areas & Legacy Documents:

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**1. Revising Legacy Manuals**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

# Applicability

This information applies to management system stewards and subject matter experts (SMEs) who want to revise a legacy manual.

**Note:** Staff members who would like to request changes to legacy manuals can contact the SBMS Help Desk, who will pass the request on to the appropriate management system steward or SME.

# Required Procedure

Legacy Manuals that are undergoing major changes must be

- reviewed by the SME, the development team (if one was formed), the management system steward, and SBMS Subject Area Development before being released
- approved by the SME and the management system steward.

For more information about SME responsibilities, see the Definitions.

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| **Step 1** | The management system steward and SME consider whether revising a legacy manual or creating a new subject area is the appropriate vehicle for conveying the information. The Criteria for Creating or Revising a Subject Area exhibit will help clarify how this determination is made. |
| **Step 2** | The management system steward or SME contacts SBMS Subject Area Development to initiate the process. |
| **Step 3** | SBMS Subject Area Development and the management system steward or SME determine<br><br>• whether the change is major (affects the way that staff perform their work) or minor (changes in contacts, non-mandatory guidance, and spelling/grammar/punctuation)<br>• integration issues<br>• level of access protection (will the information be available publicly, or restricted to BNL staff?)<br>• schedule<br>• review and approval requirements. |
| **Step 4** | SBMS Subject Area Development and the management system steward or SME discuss the following:<br><br>• the method for revising the legacy manual (e.g. by working with an SBMS writer, providing |

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| | electronic files, or providing marked-up hard copy indicating the changes)<br>• inclusion of forms that support the processes described in the legacy manual (see the Should a Form Be in SBMS? exhibit for more information)<br>• the process for submitting the files for online publication in the SBMS. |
| **Step 5** | For a major revision: The SME contacts SBMS Requirements Management to discuss the revisions and determine whether there are any modifications related to the External Requirement Document Record of Decision. |
| **Step 6** | The SME revises the legacy manual by any of these methods<br>• submitting a marked-up hardcopy to SBMS<br>• drafting new sections or exhibits<br>• using the services of an SBMS writer. |
| **Step 7** | For a major revision: The SME requests reviews. Subject areas undergoing major revision are reviewed by the<br>• SME<br>• development team (if one exists)/stakeholders who signed the original approval form (the SME may arrange for alternate signoffs if the original team member/stakeholder is no longer the appropriate contact)<br>• management system steward.<br><br>For minor revisions: The SME reviews the files online to make sure the changes are correct and the links work.<br><br>**Note:** For a major revision: Because SBMS Subject Area Development performs an integration review on all legacy manuals before they are released, it is strongly recommended that the SME request an integration review by SBMS Subject Area Development at this time, rather than waiting until late in the development/revision process. The SME is also encouraged to request a broad review by users and stakeholders. |
| **Step 8** | For a major revision: The SME considers the reviewers' comments, and either incorporates them or addresses issues raised by the reviewers.<br><br>For minor revisions: The SME makes additional minor changes to the files, as desired. |
| **Step 9** | When changes are incorporated the SMS approves the revision and transmits the document to the management system steward. If a development team is involved in the review, the SME requests them to review and approve the final the changes. |
| **Step 10** | For minor revisions: When the management system steward concurs that the revised Laboratory-wide procedure and/or guideline is ready for implementation, the management system steward sends written documentation (e.g., e-mail) to SBMS Subject Area Development approving the legacy manual for release. |
| **Step 11** | For major revisions: When the management system steward concurs that the revised Laboratory-wide procedure and/or guideline is ready for implementation, the management system steward prepares a draft Issue and Decision Paper for SBMS Steering Committee consideration for issuing the new/revised document. |
| **Step 12** | For a major revisions: The SBMS Steering Committee approves the modified legacy manual and establishes any special implementation expectations such as implementation timeframes or line implementation verification activities and transmits a completed Issue and Decision paper to the Laboratory Director for approval. |
| **Step 13** | For a major revision: When the Issue and Decision is approved, the management system steward |

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| | and the SME sign the Approval Form authorizing the release of the legacy manual to the online delivery system |
| **Step 14** | For a major revision: The SME reviews the previously completed legacy manual record of decision and revises it as necessary.<br><br>For minor revisions: No documentation other than the e-mail approval is necessary.<br><br>**Note:** The legacy manual record of decision tracks the changes to a legacy manual. It is not the same as the External Requirement Document Record of Decision in step 5, which tracks all the different ways (including procedures in legacy manuals) that the Laboratory meets its external requirements. |
| **Step 15** | The SME maintains their own set of historical files documenting changes to the legacy manuals, including (if desired) the list of people involved in making the changes and discussions of issues surrounding the changes.<br><br>**Note:** SBMS retains legacy manual records (source files and approval sheets for each set of revisions) for 15 years, unless otherwise specified by the management system steward. |
| **Step 16** | The SME submits the following to SBMS Subject Area Development:<br><br>• legacy manual files<br>• for a major revision: approval form and, if a development team was involved, and a copy of the message requesting the team's review (an electronic copy of this request, showing to whom it was sent and on what date, is acceptable)<br><br>**Note:** For a major revision: Each legacy manual has an "About" file that briefly describes the major revisions made to the legacy manual. Unless otherwise instructed by the SME, SBMS uses the text of this file in the change notification to staff. |
| **Step 17** | For a major revision: SBMS Subject Area Development performs an integration review on the legacy manual.<br><br>For minor revisions: No integration review is necessary. |
| **Step 18** | SBMS Subject Area Development tests the files, then notifies the SME that the legacy manual has been released for issue or that changes need to be made (e.g., dead links, incorrect formatting or file naming, content clarification). |
| **Step 19** | The SME makes the required changes or requests SBMS Subject Area Development to make them. |
| **Step 20** | SBMS Administration issues the legacy manual via the SBMS home page and, in the case of major revisions, notifies staff on the subscription list for that legacy manual. |

# Guidelines

For major revisions, the SME is encouraged to bring together a group of users and stakeholders to review and comment on the draft of the changes. See the Facilitated Development Team Approach exhibit for a description of the recommended process. It is recommended that all reviewers who are significantly impacted by the revision sign the approval form (or a copy of the request for their review be retained) to document their review.

**Note:** that in addition to the SBMS required approvals, some management system stewards have internal review and approval processes.

At the SME's request, an SBMS writer can take on the full task of writing revisions, creating the files, incorporating review comments, developing the change package (the approval sheet, change memo, and record of decision), and shepherding the legacy manual through to final publication. The cost of these revisions is funded by the organization requesting the work.

It is important to consider how the changes to the legacy manual will be communicated. SBMS notifies staff who are subscribed to the SBMS notification system when major revisions are issued. If a greater level of awareness is desired, the SME and management system steward may recommend to the Integration Council via the Issue and Decision Paper any special expectations they should consider establishing to implement the subject area.

**Note:** SBMS Requirements Management maintains a database that tracks how the Laboratory is meeting its external requirements such as state regulations or DOE Orders. Many of these requirements are met through Lab-wide procedures. Changes to a legacy manual, therefore, or changes in the external requirements that "drive" legacy manuals, are tracked by SBMS Requirements Management. (For more information, see the Requirements Management subject area.)

# References

Requirements Management subject area

| Continue to Next Page |

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1.1-071999/standard/01/0101d011.htm

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*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**2. Developing New Subject Areas**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

# Applicability

This information applies to management system stewards and subject matter experts (SMEs) who want to develop subject areas.

**Note:** Staff members who would like to request a new subject area can contact the SBMS Help Desk, who will pass the request on to the appropriate management system steward or SME.

# Required Procedure

New subject areas must be

- reviewed by the SME, the development team (if one was formed), the management system steward, and SBMS Subject Area Development before being released
- approved by the SME and the management system steward.

For more information about SME responsibilities, see the Definitions.

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| **Step 1** | The management system steward and SME consider whether a subject area is the appropriate vehicle for conveying the information. The Criteria for Creating or Revising a Subject Area exhibit will help clarify how this determination is made.<br><br>**Note:** It is important to set aside sufficient funds to develop and maintain the subject area (see the Guidelines below). |
| **Step 2** | The management system steward or SME contacts the SBMS Subject Area Development office to initiate the process. |
| **Step 3** | SBMS Subject Area Development and the management system steward or SME review the material to determine<br><br>• external requirements documents (drivers); applicable non-government standards; and other drivers, such as policy or contractual information, that are considered relevant to the subject area<br>• scope of the subject area<br>• approaches to development (for example, whether a team should be convened at the outset. See the Guidelines below for recommended approaches.)<br>• integration issues (for example, what other subject areas or legacy manuals will be affected by the new subject area)<br>• level of access protection (will the information be available publicly, or restricted to BNL |

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| | staff?)<br>• priority for development. The Criteria for Assigning Level of Priority exhibit will define how priorities are established.<br>• schedule<br>• review and approval requirements. |
| **Step 4** | SBMS Subject Area Development and the management system steward or SME discuss the following:<br><br>• the method for creating the new subject area (e.g., by working with an SBMS writer or providing electronic files of the new subject area)<br>• inclusion of forms that support the processes described in the subject area (see the Should a Form Be in SBMS? exhibit for more information)<br>• the process for submitting the files for online publication in the SBMS. |
| **Step 5** | The SME contacts SBMS Requirements Management to discuss the drivers for the new subject area and to determine whether there are any modifications related to External Requirement Document Record of Decisions. |
| **Step 6** | The SME develops the subject area by any of these methods:<br><br>• drafting it in accordance with the subject area outline (see the Subject Area Outline exhibit)<br>• using the SBMS template (available from SBMS Subject Area Development)<br>• using the services of an SBMS writer (see the Guidelines below). |
| **Step 7** | The SME requests reviews. New subject areas are reviewed by the<br><br>• SME<br>• Development team (if one exists)<br>• Management system steward.<br><br>**Note:** Because SBMS Subject Area Development performs an integration review on all subject areas before they are released, it is strongly recommended that the SME request review by SBMS Subject Area Development at this time, rather than waiting until late in the development/revision process. The SME is also encouraged to bring together a group of users and stakeholders to review the draft as part of the development process (see the Guidelines below). |
| **Step 8** | The SME considers the reviewers' comments, and either incorporates them or addresses issues raised by the reviewers. |
| **Step 9** | When the management system steward determine that the new subject area is ready to be issued and implemented, the management system steward prepares a draft Issue and Decision Paper for SBMS Steering Committee consideration for issuing the new document. |
| **Step 10** | The SBMS Steering Committee approves the subject area and establishes any special implementation expectations such as implementation timeframes or line implementation verification activities and transmits a completed Issue and Decision paper to the Laboratory Director for approval. |
| **Step 11** | Following the Issue and Decision Paper approval, the management system steward and the SME sign the Approval Form. |
| **Step 12** | The SME completes the subject area Internal Record of Decision. For questions on how to complete the Record of Decision (ROD), contact SBMS Subject Area Development.<br><br>**Note:** This record of decision tracks the changes to a subject area. It is not the same as the External Requirement Document Record of Decision in step 5, which tracks all the different ways |

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| | (including procedures in subject areas) that the Laboratory meets its external requirements. |
| **Step 13** | The SME submits the following to SBMS Subject Area Development:<br><br>• subject area files<br>• 5-10 key words (may be included in the subject area outline)<br>• approval form<br>• SBMS Internal Record of Decision.<br><br>**Note:** Each subject area has an "About" file that briefly describes the subject area and the major revisions made to it. Unless otherwise instructed by the SME, SBMS uses the text of this file in the all-staff message notification.<br><br>**Note:** SBMS retains subject area records (source files and approval sheets for each set of revisions) for 15 years, unless otherwise specified by the management system steward. The SME is advised to retain any other notes that may be useful regarding the subject area (e.g., why certain decisions were reached, who was contacted for technical advice, etc.) |
| **Step 14** | SBMS Subject Area Development performs an integration review of the subject area. |
| **Step 15** | SBMS Subject Area Development tests the files, then notifies the SME that the subject area has been released for issue ***or*** that changes need to be made (e.g., dead links, incorrect formatting or file naming, content clarification). |
| **Step 16** | The SME makes the required changes or requests SBMS Subject Area Development to make them. |
| **Step 17** | SBMS issues the subject area via the SBMS home page and notifies staff. |

# Guidelines

The management system steward determines how the subject area will be developed and maintained. When budgeting for a subject area, consider the time for the SME, the development team (if one is used), the SBMS writer, and the follow-on cost of updating the subject area. SBMS Subject Area Development offers free initial consultation (for a limited number of hours) for new subject areas and major changes to subject areas. This consultation includes assistance in determining scope, identifying issues, and developing initial drafts. At the SME's request, an SBMS writer can take on the full task of writing the subject area, facilitating meetings where necessary, creating the files, incorporating review comments, developing the change package (the approval sheet, change memo, and record of decision), and shepherding the subject area through to final publication. Work completed in addition to the initial consultation is funded by the organization requesting the work. SBMS Subject Area Development can help establish an estimate of the total costs.

Two general approaches for developing subject areas are recommended:

- In the first approach, the SME develops a draft of the subject area. The SME is then encouraged to bring together a group of users and stakeholders to review and comment on the draft subject area. This approach is recommended when the process is already well-established and accepted throughout BNL.
- The second approach is a facilitated development team approach. This approach is recommended for new or complex subject areas or subject areas that could benefit from a team perspective or outside assistance. Trained facilitators and writers are available to assist with this approach. See the Facilitated Development Team Approach exhibit for a description of the recommended process.

Note that in addition to the SBMS required approvals, some management system stewards have internal review and approval processes. It is recommended all reviewers who will be significantly affected by the subject area sign the approval form to document their review and approval, even if they were not members of the development team.

Consider also how the new subject area will be communicated. SBMS sends out all-staff notifications when a new subject area is put online. If a greater level of awareness is desired, the SME and management system steward may recommend to the Integration Council via the Issue and Decision Paper any special expectations they should consider establishing to implement the subject area.

**Note:** SBMS Requirements Management maintains a database that tracks how the Laboratory is meeting its external requirements such as state regulations or DOE Orders. Many of these requirements are met through Lab-wide procedures. Introduction of a new subject area, therefore, or changes in the external requirements that "drive" subject areas, are tracked by SBMS Requirements Management. (For more information, see the Requirements Management subject area).

| Go to Previous Page | Continue to Next Page |



1.2-012000/standard/01/0102d011.htm

SBMS

Forms | Contact List | SBMS Instructions | Help Desk

**Find Subject Areas:** Index Categories Alpha

Show Side Menu

**Search Subject Areas & Legacy Documents:**

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

# 3. Revising Subject Areas

Effective Date: **March 1999**
Point of Contact: SBMS Subject Area Development

## Applicability

This information applies to management system stewards and subject matter experts (SMEs) who want to revise subject areas.

**Note:** Staff members who would like to request changes to subject areas can contact the SBMS Help Desk, who will pass the request on to the appropriate management system steward or SME.

## Required Procedure

*Subject areas that are undergoing major changes must be*

- *reviewed by the SME, the development team (if one was formed), the management system steward, and SBMS Subject Area Development before being released*
- *approved by the SME and the management system steward.*

*For more information about SME responsibilities, see the Definitions.*

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| **Step 1** | The management system steward and SME consider whether revising a subject area is the appropriate vehicle for conveying the information. The Criteria for Creating or Revising a Subject Area exhibit will help clarify how this determination is made. |
| **Step 2** | The management system steward or SME contacts SBMS Subject Area Development to initiate the process. |
| **Step 3** | SBMS Subject Area Development and the management system steward or SME determine<br><br>• whether the change is major (affects the way that staff perform their work) or minor (changes in contacts, non-mandatory guidance, and |

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| | spelling/grammar/punctuation)<br>• integration issues<br>• level of access protection (will the information be available publicly, or restricted to BNL staff?)<br>• schedule<br>• review and approval requirements. |
| **Step 4** | SBMS Subject Area Development and the management system steward or SME discuss the following:<br><br>• the method for revising the subject area (e.g, by working with an SBMS writer, providing electronic files, or providing marked-up hard copy indicating the changes)<br>• inclusion of forms that support the processes described in the subject area (see the Should a Form Be in SBMS? exhibit for more information)<br>• the process for submitting the files for online publication in the SBMS. |
| **Step 5** | *For a major revision:* The SME contacts SBMS Requirements Management to discuss the revisions and determine whether there are any modifications related to the External Requirement Document Record of Decision. |
| **Step 6** | The SME revises the subject area by any of these methods<br><br>• submitting a marked-up hardcopy to SBMS<br>• drafting new sections or exhibits in accordance with the Subject Area Outline exhibit<br>• using the SBMS template (available from SBMS Subject Area Development)<br>• using the services of an SBMS writer (see the Guidelines below). |
| **Step 7** | For a major revision: The SME requests reviews. Subject areas undergoing major revision are reviewed by the<br><br>• SME<br>• development team (if one exists)/stakeholders who signed the original approval form (the SME may arrange for alternate signoffs if the original team member/stakeholder is no longer the appropriate contact)<br>• management system steward.<br><br>*For minor revisions:* The SME reviews the files online to make sure the changes are correct and the links work.<br><br>**Note:** *For a major revision:* Because SBMS Subject Area Development performs an integration review on all subject areas before they are released, it is strongly recommended that the SME request an integration review by SBMS Subject Area Development at this time, rather than waiting until late in the development/revision process. The SME is also encouraged to request a broad review by users and stakeholders. |
| **Step 8** | *For a major revision:* The SME considers the reviewers' comments, and either incorporates them or addresses issues raised by the reviewers. |

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| | *For minor revisions:* The SME makes additional minor changes to the files, as desired. |
| **Step 9** | When changes are incorporated the SMS approves the revision and transmits the document to the management system steward. If a development team is involved in the review, the SME requests them to review and approve the final the changes. |
| **Step 10** | *For minor revisions:* When the management system steward concurs that the revised Laboratory-wide procedure and/or guideline is ready for implementation, the management system steward sends written documentation (e.g., e-mail) to SBMS Subject Area Development approving the subject area for release. |
| **Step 11** | *For major revisions:* When the management system steward determine that the revised subject area is ready to be issued and implemented, the management system steward prepares a draft Issue and Decision Paper for SBMS Steering Committee consideration for issuing the new document. |
| **Step 12** | *For a major revisions:* The SBMS Steering Committee approves the revised subject area and establishes any special implementation expectations such as implementation timeframes or line implementation verification activities and transmits a completed Issue and Decision paper to the Laboratory Director for approval. |
| **Step 13** | *For a major revision:* Following the Issue and Decision Paper approval, the management system steward and the SME sign the Approval Form authorizing the release of the subject area to the online delivery system. |
| **Step 14** | *For a major revision:* The SME reviews the previously completed subject area Internal Record of Decision and revises it as necessary.<br><br>*For minor revisions:* No documentation other than the e-mail approval is necessary.<br><br>**Note:** The subject area Internal Record of Decision tracks the changes to a subject area. It is not the same as the External Requirement Document Record of Decision in step 5, which tracks all the different ways (including procedures in subject areas) that the Laboratory meets its external requirements. |
| **Step 15** | The SME maintains their own set of historical files documenting changes to the subject areas, including (if desired) the list of people involved in making the changes and discussions of issues surrounding the changes.<br><br>**Note:** SBMS retains subject area records (source files and approval sheets for each set of revisions) for 15 years, unless otherwise specified by the management system steward. |
| **Step 16** | The SME submits the following to SBMS Subject Area Development:<br><br>• subject area files<br>• for a major revision: approval form and, if a development team was involved, and a copy of the message requesting the team's review (an |

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| | electronic copy of this request, showing to whom it was sent and on what date, is acceptable)<br><br>**Note:** For a major revision: Each subject area has an "About" file that briefly describes the major revisions made to the subject area. Unless otherwise instructed by the SME, SBMS uses the text of this file in the change notification to staff. |
| **Step 17** | *For a major revision:* SBMS Subject Area Development performs an integration review on the subject area.<br><br>*For minor revisions:* No integration review is necessary. |
| **Step 18** | SBMS Subject Area Development tests the files, then notifies the SME that the subject area has been released for issue or that changes need to be made (e.g., dead links, incorrect formatting or file naming, content clarification). |
| **Step 19** | The SME makes the required changes or requests SBMS Subject Area Development to make them. |
| **Step 20** | SBMS Administration issues the subject area via the SBMS home page and, in the case of major revisions, notifies staff on the subscription list for that subject area. |

# Guidelines

For major revisions, the SME is encouraged to bring together a group of users and stakeholders to review and comment on the draft of the changes. It is recommended that all reviewers who are significantly impacted by the revision sign the approval form (or a copy of the request for their review be retained) to document their review. Note that in addition to the SBMS required approvals, some management system stewards have internal review and approval processes.

At the SME's request, an SBMS writer can take on the full task of writing revisions, creating the files, incorporating review comments, developing the change package (the approval sheet, change memo, and record of decision), and shepherding the subject area through to final publication. The cost of these revisions is funded by the organization requesting the work.

It is important to consider how the changes to the subject area will be communicated. SBMS notifies staff who are subscribed to the SBMS notification system when major revisions are issued. If a greater level of awareness is desired, the SME and management system steward may recommend to the Integration Council via the Issue and Decision Paper any special expectations they should consider establishing to implement the subject area.

**Note:** SBMS Requirements Management maintains a database that tracks how the Laboratory is meeting its external requirements such as state regulations or DOE Orders. Many of these requirements are met through Lab-wide procedures. Changes to a subject area, therefore, or changes in the external requirements that "drive" subject areas, are tracked by SBMS Requirements Management. (For more information, see the Requirements Management subject area.)

Management subject area.)

# References

Requirements Management subject area

| Go to Previous Page | Continue to Next Page |

Back to Top



1.3-102003/standard/01/0103d011.htm

SBMS

Forms | Contact List | SBMS Instructions | Help Desk

***Find Subject Areas:*** Index | Categories | Alpha

Show Side Menu

**Search Subject Areas & Legacy Documents:**

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**4. Deploying/Implementing Laboratory-wide Procedures and Guidelines**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

# Applicability

This information applies to management system stewards, the SBMS Steering Committee, Associate and Assistant Laboratory Directors and all line managers who must implement the requirements of a Laboratory-wide procedure and/or guideline.

# Required Procedure

*Laboratory-wide procedures and/or guidelines must be approved by the SBMS Steering Committee prior to issuance, and once approved, line managers must ensure the Laboratory-wide procedure and/or guideline is implemented within their span of control.*

See the Process Flow exhibit.

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| **Step 1** | Following the receipt of a draft Issue and Decision Paper from a management system steward requesting the approval of a new/modified procedure and/or guideline, the SBMS Steering Committee approves the new/modified procedure and/or guideline and establishes any special implementation expectations such as implementation timeframes, line implementation verification activities, training, or formal tracking, and provides a final Issue and Decision Paper to the Laboratory Director for approval and issuance. |
| **Step 2** | Using the normal Issue and Decision Paper processes, the Director either approves the Issue and Decision Paper and issues it for implementation, or rejects it and returns it to the management system steward for rework. |
| **Step 3** | Following the issuance of the new /modified procedure and/or guideline via the SBMS on-line delivery system, each Associate/Assistant Laboratory Director formally directs their Department/Division managers to plan the implementation within their span of control and to provide the ALD with appropriate implementation milestones (e.g. applicability reviews, training, etc.), due dates, and special resource requirements (if any) necessary to continue operating in compliance with the new/modified procedure and/or guideline. |
| **Step 4** | The Associate/Assistant Laboratory Directors provides implementation plan/schedule information to the Steering Committee, and then monitors the progress of the implementation and report any issues to the SBMS Steering Committee, as they deem appropriate. |
| **Step 5** | Department/Division managers report implementation completion of the new/modified procedure and/or guideline to their Associate/Assistant Laboratory Director. |
| **Step 6** | The Associate/Assistant Laboratory Director determines the need for formal implementation verification. All verification activities are performed as part of the organization's self-assessment activities under the Integrated Assessment Program. |

| | |
|---|---|
| | activities under the Integrated Assessment Program. |
| **Step 7** | If the Associate/Assistant Laboratory Director determines that no formal verification is needed, the implementation is complete. |
| **Step 8** | When all implementation activities within the directorate are complete, the Associate/Assistant Laboratory Director reports the information to the Steering Committee. |
| **Step 9** | When all implementation activities within the Laboratory are complete, the Steering Committee informs the Laboratory Director. |

| Go to Previous Page |



1.0-061999/standard/01/0104d011.htm

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Criteria for Assigning Level of Priority**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

The following criteria will be used to assign the priority in development of a subject area.

**Criteria A:** The Subject Area fills a significant structural gap in the implementation of a management system, or the Subject Area is required to fill a significant program non-compliance with existing external requirements.

**Criteria B:** The Subject Area is needed to implement performance improvements or process upgrades to address risks/liabilities from operational experience, such as recurring events, accident/injury experience/trends, employee concerns, employee perceptions, and fines.

**Criteria C:** Program improvements along the lines of fixing a technical noncompliance in otherwise sound programs, potential business operations efficiency improvements, etc.

The following numerical designations are used to determine the order in which Subject Areas are developed. These designations are used only for Criteria A and B.

1 - Broad coverage topic with no institutional guidance. Real or potential risks exist.

2 - Real or potential risk - there is a limited exposure for a smaller group.

3. Personnel in the field are operating safely and some level of documentation exists.

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Criteria for Creating or Revising a Subject Area**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

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Is a subject area the best way to communicate your information to staff? Consider these questions when thinking about creating a new subject area or revising an existing one. If you answer "no" to any of them, the information may be more appropriately placed in a program description (which can be put online in the SBMS), or in an operations manual or website that serves a specific organization, project, or specialized sub-group of staff. SBMS Subject Area Development can help you analyze your needs to determine whether a subject area is appropriate.

Note: Until BNL Achieves ISMS Verification, a management system owner may choose to continue to deliver information by revising an existing legacy manual if the manual is judged to be largely adequate for the meeting the information needs of staff and not essential for supporting the ISMS Verification.

| Should this information be in a subject area? | | |
|---|---|---|
| **The Question** | **The Answer** | |
| | **Probably Yes** | **Probably No** |
| • Does the subject area fit logically into a management system? | A management system clearly states that this topic is within its system operations (see the Management System Descriptions page for a list of management systems). | No such statement is made. |
| • Who will be asked to follow the procedure -- a range of staff throughout the laboratory, or a subset of specialists? | The information is something a broad range of staff need to know. For example, what to do if injured at work, how to work with chemicals, how to order supplies. | Only specifically assigned staff will perform the action. For example, a detailed description of how to conduct an occupational injury investigation -- which is performed only by trained, Environment, Safety and Health representatives -- does not belong in a subject area. |
| • Can the information be effectively written as a procedure rather than a philosophy? | The information describes **how** to do work, in a sequence of steps. | The information describes why work is done a certain way. |
| • If the information is not a | The information gives | The information is 1) not |

| | | |
|---|---|---|
| procedure itself (or a step in a procedure), does it logically support a procedure or step? | The information gives more detail about completing an action *specified in the subject area* such as filling out a form, storing an item, or posting a hazard sign. | related to a specific step in the subject area, or 2) gives detail that is relevant only to a specialized subset of staff. (Frequently this detail is already in an organization's internal procedures). |
| • Is the procedure required by a "driver" -- a law, an obligation specified by contract, or a practice that is necessary for prudent business operations? | The subject area, or sections of it, are tools by which staff meet the requirements of specific laws or other drivers. | The driver is unclear. |
| • Is the procedure being developed in response to an organizational need perceived by you and the staff? | The information will make a process clearer or simpler, or help staff comply with a genuine requirement. | The subject area is being created as a quick fix in response to an assessment finding or a client's needs. These findings or needs can often be addressed by reviewing procedure implementation issues, clarifying a "desk level" procedure or instituting changes in how a specialized subset of people work. |
| • Is the information or procedure unique in the SBMS system? | There is no equivalent information in a subject area. (Review subject areas and manuals to determine if the information can fit into existing subject areas, if a new subject area is needed, and what information must be modified to avoid conflicting procedures.) | A subject area already covers this information. |
| • Would there be negative consequences to the organization if the information, or part of it, were eliminated? | Yes. | No. |



1.0-061999/standard/01/0102e011.htm

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*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Facilitated Development Team Approach**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

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Management system owners determine the best approach for developing and revising subject areas. The recommended process for a facilitated development team is described below.

**Note:** When performing the steps below, the facilitator and the Subject Matter Expert (SME) may be the same person.

1. If a facilitator and/or writer is needed, the SME contacts the SBMS Subject Area Development office for a list of candidates.

2. The facilitator contacts a point of contact for affected organizations to request participants.

**Note:** The facilitator can provide the name of the SME-recommended participant, but the organizational point of contact makes the final determination of who will represent the organization.

3. The facilitator contacts the team participants, identified by the organizational points of contact, briefs them on the process and their roles and responsibilities, and provides them a copy of the applicable external drivers.

4. For new subject areas, the development team develops a charter. The charter may be as simple or complex as the team decides is needed to support the subject area development efforts. See the Potential Charter Elements exhibit.

For revisions to existing procedures and guidelines, the team meets to discuss the proposed changes.

**Note:** The SME and stakeholders are responsible for ensuring that applicable drivers are being met by the draft procedures and guidelines. They are also responsible for resolving integration issues with other subject area or legacy manual owners.

5. When a comment draft is available, the development team members present the draft to others who will need to apply the subject area and collect comments, resolve the comments if possible, and provide appropriate feedback to the development team. Team members are responsible for answering the questions and concerns from their organization based on the discussions held by the development team. If a team member cannot address a question, or if broader issues are highlighted, those issues and concerns should be communicated to the development team for further discussion and potential revision of the procedures and guidelines.

Those who review of the subject area should be asked to consider:

1) Will workers be able to understand and carry out the procedures? Can it's usability be improved?

2) Are there any "gaps" in the subject area? Does it provide the necessary information needed to accomplish the work?

6. The development team meets to discuss and resolve the review comments and discuss implementation approaches. Team members respond back to commenters, as appropriate.



1.0-061999/standard/01/0103e011.htm

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Potential Charter Elements**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

# Purpose

Describe what subject area is being developed.

State what the requirements are that the subject area must address.

# Membership

Identify team members and the role they will play on the team, e.g. Subject Matter Expert, facilitator, timekeeper, scribe.

# Approach/Process

Discuss the approach/process the team will use to develop the subject area. Determine how often the team will meet and the duration of the meetings. For example:

1. Each member to review the requirements assigned to them.

2. Discuss issues related to the subject area.

3. Develop a high-level process flowchart of the work being governed by the subject area, which becomes the working outline for the procedures and guidelines.

4. Outline the procedures and guidelines.

5. Review the draft procedures and guidelines and provide feedback.

# Schedule/Deliverables

Establish what, when and who for developing the subject area and, if necessary, identify any special implementation considerations that should be recommended to the Integration Council.



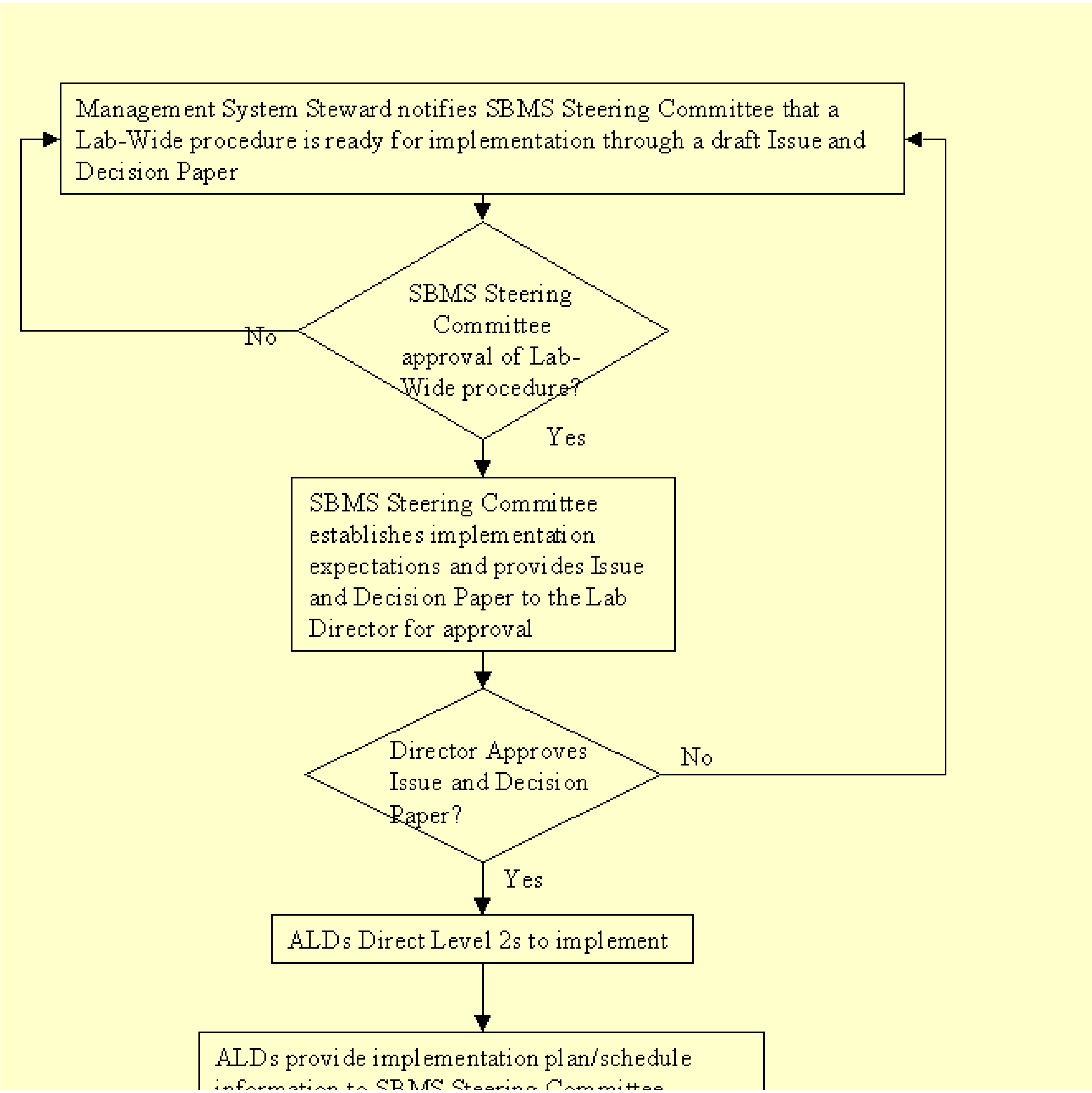
1.0-061999/standard/01/0107e011.htm

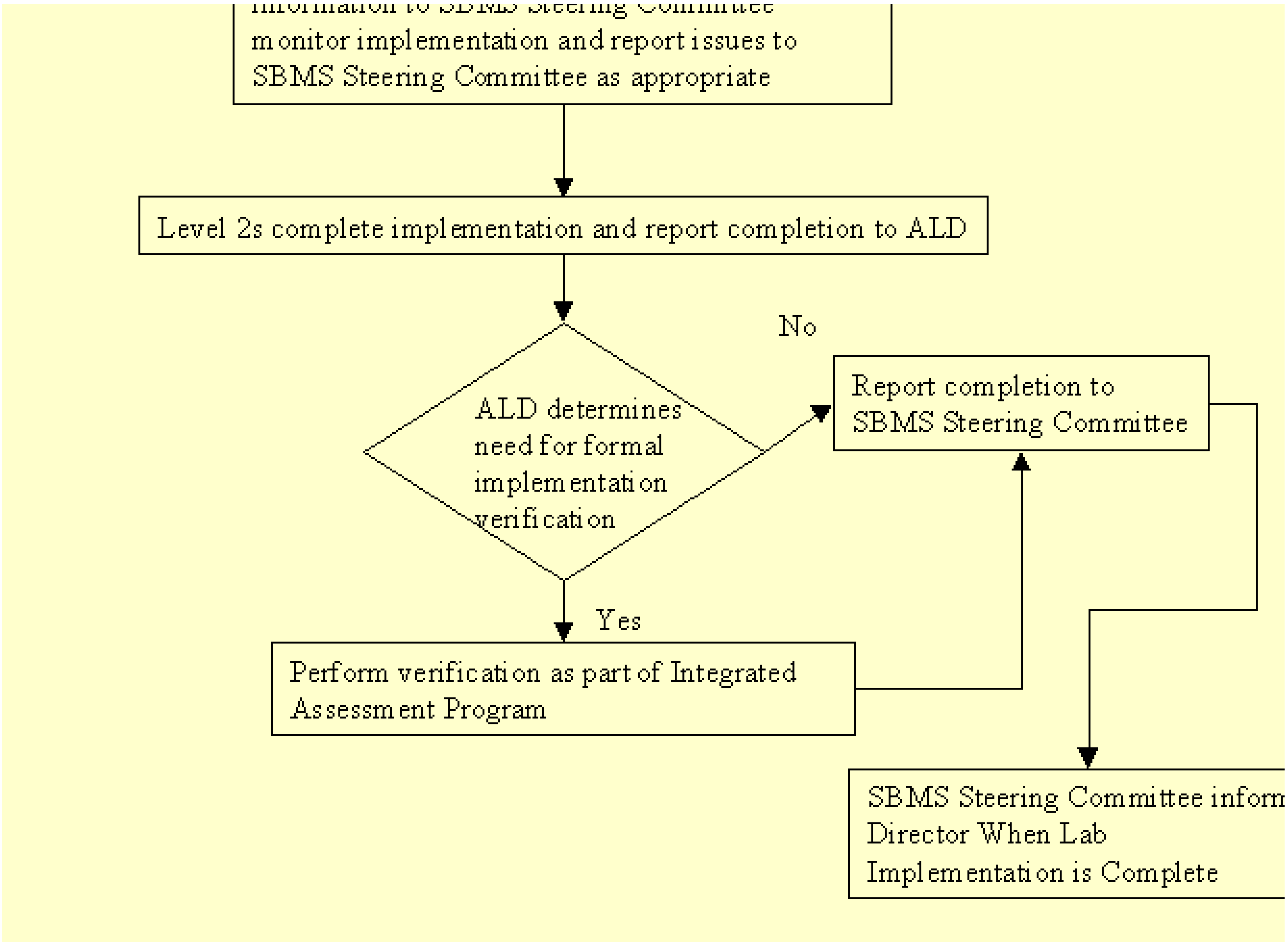
*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Process Flow**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development



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1.0-061999/standard/01/0108e011.htm
1.0-061999/standard/01/0104e011.gif

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*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Should a Form Be in SBMS?**

Effective Date: **March 1999**
Point of Contact: SBMS Subject Area Development

To decide whether to include a form in SBMS, consider the following:

- If the form is a downloadable or PDF file **AND** is a required part of a process that is described in the subject area, the form MUST be included in the SBMS.
- If the form is an interactive online document AND is a required part of a process that is described in the subject area, the link to the form (not the form itself) MUST be included in the SBMS.
- If the form is recommended, but not required, it MAY be included in the subject area as a downloadable/PDF file or a link.
- If the form is neither required nor recommended in the SBMS process, it is NOT included in the SBMS. .

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1.0-061999/standard/01/0105e011.htm

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| SBMS Subject Area/Legacy Document: | | Revision: |
|---|---|---|
| **Approvals** | | |
| **SME/Author** | **Signature** | **Date** |
| | | |
| The SME/author concurs with<br>❑ the content of this subject area/legacy document<br>❑ the wording of the "About" file (this wording will also be used in the message to staff). | | |
| **Reviewers** | **Signature** | **Date** |
| | | |
| | | |
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| | | |
| | | |
| | | |
| | | |
| This subject area/legacy document was reviewed by the individuals listed above. Their signatures indicate they concur with the content of this subject area. | | |
| **Management Approvals** (including the management system owner) | | |
| **Name** | **Signature** | **Date** |
| | | |
| | | |
| | | |

**Note:** Approval of this subject area/legacy documents authorizes its release to the SBMS online delivery system, which is available to the general public.

**Note:** The subject area records provided to the SBMS will be retained as record material for 15 years unless otherwise specified by the management system owner. If a different retention period is required, indicate the duration here ________.

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Internal Record of Decision**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

For new subject areas, the subject matter expert (SME) completes and signs the SBMS Internal Record of Decision (ROD), documenting the internal and external drivers that are being met by the Laboratory-wide procedures and guidelines. The SME includes the Internal ROD with the material that is handed to SBMS Subject Area Development when the files are turned in for final processing. If the subject area or legacy manual is undergoing a major revision, the SME is strongly encouraged to review the Internal ROD to ensure that drivers are still being met.

SBMS Subject Area Development can assist the SME in completing the form.

The Internal Record of Decision is available as a downloadable file in Word.

# Internal Record of Decision - Subject Area/Legacy Document

**Subject Area/Legacy Document:** **Management System:**

**Subject Matter Expert (SME):** **Management System Steward:**

**Internal or External Requirement:**

| Requirement Section Number | Requirement Section Title |
|---|---|
| | |
| | |
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| | |

For new Subject Areas, identify if implementation actions are needed and in general what they are.

____________________________ ____________________

SME Signature Date

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Subject Area Outline**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

One of the options for formatting a subject area is for the SME to create the document, using the subject area outline, and submit it to SBMS Subject Area Development, who will convert the file to the SBMS template and create the hypertext links.

The subject area outline is available as a downloadable Word file.



1.0-061999/standard/01/0106e011.htm

# Subject Area Title

[The title should be intuitive, and easy for users to find in an alphabetical list]

[Contents] [Exhibits] [Related Information][Standards of Performance]

## Contents

[Introduction]

[List all section titles below.]

1. [Procedure Title]
2. [Procedure Title]
3. [Procedure Title]
4. [Procedure Title]

[Definitions]

## Exhibits

[List the titles of all exhibits that are a part of this subject area, including forms, diagrams, etc. Before creating flowcharts, exhibits, graphics, etc., contact the SBMS Office for guidelines.]

## Related Information

[List all documents, manuals, and other subject areas that are referred to in this subject area.]

## Standards of Performance

[List all applicable Lab-wide standards of performance here. Contact the management system steward to obtain the appropriate standards for this subject area.]

# Subject Area Title

## Introduction

[Include the following as appropriate: relevant background and/or context, scope and limits to scope, general statement of applicability. The introduction should be brief and informative.]

# 1. Procedure Title

[Procedures should be sequential in order, so the first procedure should be the first major step in the overall process. Titles should use an active voice.]

### Issue Date

[Month, Year the subject area is to be published online.]

### Point of Contact

[Who should staff call if they have questions? What is this person's title (relevant to this subject area). Only the title will appear in the subject area. This title will have to be included in the Support Services Directory along with the contact's name and phone number.]

### Applicability

This information applies to . . . . [Include who it applies to and under what circumstances, if relevant. Consider applicability to BNL staff (employees receiving a paycheck from BNL) as well as non-BNL staff (individuals at BNL who are not staff – guests, users, visitors, etc.).]

### Required Procedure

[Write a summary statement that describes what will be accomplished by completing the required procedure steps.]

[Write the steps that ***must*** be followed in order to meet the standards. Include the actor, i.e., ***who*** actually performs each step. Include only one action per step. Do not use passive voice. Always write out acronyms. When you would like a section made into a hyperlink, underline it and provide the URL.Use "notes" for information that is related to the procedure step, but not required.]

| | |
|---|---|
| **Step 1** | [For example:] Staff members obtain the recommended hearing protection device.<br><br>**Note:** For information on noise reduction ratings (NRR), contact the Safety and Health Representative. |
| **Step 2** | |
| **Step 3** | |
| **Step 4** | |

### Guidelines

[Include optional suggestions here, such as general guidance, reminders, or additional related information.]

### References

List all subject areas, manuals, links, etc., cited in this section.

## 2. Procedure Title

[This should be the second major step in the overall process. Repeat the elements shown in procedure 1. Include additional procedures as necessary.]

## Definitions

[Only define terms that are used in this subject area. List terms in alphabetical order.]

| Term | Definition |
|---|---|
| | |

## About File

[This lists the date the subject area was first published online, briefly describes the subject area, and lists the management system that has responsibility for creating/revising the subject area. The descriptions are used in the notification to staff. If this subject area is replacing a legacy document or old procedure, specify which one(s).]

## Keywords

[Include 5-10 key words that are associated with this subject area. Choose words staff may use when searching for information about the subject area.]

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Definitions: Laboratory-Wide Procedures and Guidelines**

Effective Date: **March 1999**

Point of Contact: SBMS Subject Area Development

| **Term** | **Definition** |
|---|---|
| "About" file | The section of the subject area that lists the date the subject area was first published on line and the dates on which major revisions were published; contains a brief description of the new subject area or the major revisions; and lists the responsible management system. The description is used in the notification to staff. |
| development team | Development teams develop or revise Laboratory-wide procedures and guidelines. The team that reviews the external requirements, outlines the work processes for the subject area, resolves issues, gathers additional information, and concurs with the content of the final procedures and guidelines. The team members may include stakeholders and user representatives from each research division and other organizations as necessary. Stakeholders and users have the authority to represent their organizations and approve the information being developed. |
| drivers | Internal or external actions that influence how business is conducted. Drivers include federal, state, and local regulations; DOE Orders; applicable non-government standards, BSA policy; contractual obligations; business environments; etc. |
| effective date | The date when staff members are responsible for meeting the requirements and following the required procedures. |
| integration review | A review, conducted by SBMS, to ensure that the new or revised information does not duplicate or conflict with information presented elsewhere in the SBMS. |
| key words | A list of 5 to 10 words that staff are most likely to use when searching for information about a subject area. Keywords are embedded in the subject area; they are hidden from the viewer, but are registered by the search engine. |
| Laboratory-wide procedures and guidelines | Documents containing the required step-by-step instructions (required procedures), and general guidance (suggested guidelines) for staff to follow. |
| major revision | A revision that affects the way that staff perform their work; includes significant changes to standards, required processes, or required forms. |
| minor revision | Revisions that do not affect how staff perform their work. Includes changes in contacts, non-mandatory guidance, and spelling/grammar/punctuation. |
| non-BNL staff | Individuals at BNL who are not staff (i.e., they do not receive a paycheck from BSA). |
| point of contact | The person assigned by the functional organization to answer questions regarding |

| | |
|---|---|
| point of contact | The person assigned by the functional organization to answer questions regarding the implementation of information in the SBMS. The point of contact may be the SME for a specific subject area or may be an engineer, administrator, clerk, technical specialist, or other knowledgeable staff member who can answer staff questions. A point of contact is assigned by the management system owner for the subject area, based on the staff member's ability to answer questions regarding the implementation of the procedures and guidelines. |
| Record of Decision - External Requirement Document | The documentation that describes how an external requirement document is being implemented at the Laboratory. |
| Record of Decision - Internal (subject area) | A list of the applicable internal and external drivers for the subject area and a description of how those drivers are being implemented in BNL's Laboratory-wide procedures and guidelines. |
| staff | All employees who receive paychecks from BSA. |
| stakeholders | Stakeholders are representatives from various that could be impacted by the procedures and guidelines being developed or revised. Stakeholders are often SMEs for other subject areas. |
| standard | Standards are concise statements that define expectations for all staff and management performance and support implementation of the Laboratory's Management Systems. Standards were developed by Management System owners and have been reviewed by the Leadership Team. When appropriate, standards are implemented through the procedures and guidance contained in Subject Areas and current manual, which are available on the SBMS Home Page. When no further guidance is given, 1) the organization implementing a standard defines the method of implementation, or 2) the method of implementation is left to the staff member's discretion. |
| subject area | A topic identified as being part of BNL's work processes. |
| subject matter experts (SMEs) | SMEs are staff members that are knowledgeable in the technical area that the subject area addresses. The management system owner for the subject area assigns the SME. |
| users | Users are representatives from research and support organizations. They must be knowledgeable of the subject area and would actually use the procedures and guidelines that are being developed. |

Back to Top

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1.0-061999/standard/01/0100l011.htm

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*Find Subject Areas:* Index Categories Alpha

Show Side Menu

Search Subject Areas & Legacy Documents:

*Subject Area:* ***Laboratory-Wide Procedures and Guidelines***

**Revision History: Laboratory-Wide Procedures and Guidelines**

Point of Contact: SBMS Subject Area Development

# Revision History of this Subject Area

| Date | Description | Management System |
|---|---|---|
| March 1999 | This subject area was developed to establish the procedures and guidelines to follow to ensure change control for the processing of BNL Laboratory-level procedures. | Standards-Based Management |

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